



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor application of:

Kevin P. BAKER, et al.

Application Serial No. 10/006,116

Filed: December 6, 2001

For: **SECRETED AND TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC ACIDS  
ENCODING THE SAME**

) Examiner: Vogel, Nancy S.

) Art Unit: 1636

) Confirmation No: 8110

) Attorney's Docket No. 39780-2830 P1C15

) Customer No. 35489

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DATE MAILED: November 28, 2006

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

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Commissioner for Patents

PO Box 1450

Alexandria, Virginia 22313-1450

Sir:

Listed below or on an attached Form PTO-1449 is information known to applicant(s). A copy of each listed publication and U.S. and foreign patent, except for pending U.S. applications, is being submitted herewith, along with a concise explanation of information in a foreign language, if any, pursuant to 37 C.F.R. §1.97-1.98.

Applicants respectfully request that the listed information be considered by the Examiner and be made of record in the above-identified application. If Form PTO-1449 is enclosed, the Examiner is requested to initial and return it in accordance with M.P.E.P. §609.

This statement is not intended to represent that a search has been made or that the information cited in the statement is, or is considered to be, material to patentability as defined in §1.56.

12/01/2006 MBELETE1 00000019 081641 10006116

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- ☐ This statement qualifies under 37 C.F.R. §1.97, subsection (b) because (check all that apply):
- ☐ (1) It is being filed within 3 months of the application filing date and is other than a continued prosecution application under § 1.53(d)  
-- OR --
- ☐ (2) It is being filed within 3 months of entry of a national stage  
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- ☐ (3) It is being filed before the mail date of the first Office Action on the merits  
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- ☒ 37 C.F.R. §1.97(c). If this statement is being filed after the latest of: (1) three months beyond the filing date of a national application; (2) three months beyond the date of entry of the national stage as set forth in §1.491 in an international application; or (3) the mailing date of a first Office action on the merits, but before the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, then:
- ☐ a certification as specified in §1.97(e) is provided below; or
- ☒ a fee of **\$180.00** as set forth in §1.17(p) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☐ 37 C.F.R. §1.97(d). If this statement is being filed after the mailing date of the earlier of a final office action under §1.113 or a notice of allowance under §1.311, but before payment of the issue fee, then:
- A. a certification as specified in §1.97(e) is completed below; and
- B. a petition under 37 C.F.R. §1.97(d) requesting consideration of this statement is submitted herewith; and
- C. a fee of \$130.00 as set forth in §1.17(i)(1) is authorized below, enclosed, or included with the payment of other papers filed together with this statement.
- ☒ **Fee Authorization.** The Commissioner is hereby authorized to charge the above-referenced fees of **\$180.00** and charge any additional fees or credit any overpayment associated with this communication to Deposit Account No. **08-1641 (Attorney's Docket No. 39780-2830 P1C15).**

Respectfully submitted,

Dated: November 28, 2006

By: B. D. Greene  
Barrie D. Greene (Reg. No. 46,740)

**HELLER EHRMAN LLP**  
275 Middlefield Road  
Menlo Park, California 94025-3506  
Telephone: (650) 324-7000  
Facsimile: (650) 324-0638



Form PTO-1449				Attorney's Docket No. 39780-2830 P1C15		Application Serial No. 10/006,116		
INFORMATION DISCLOSURE STATEMENT				Applicant(s) <div style="text-align:right">Kevin P. BAKER, et al.</div>				
(use several sheets if necessary)				Filing Date: December 6, 2001		Group Art Unit: 1636		
U.S. PATENT DOCUMENTS								
Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date (if appropriate)	
FOREIGN PATENT DOCUMENTS								
Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Translation	
							YES	NO
OTHER DOCUMENTS (including author, title, date, pertinent pages, etc.)								
Examiner Initials	Ref. No.	Title						
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	5.	Bea, S., et al., "BMI-1 Gene Amplification and Overexpression in Hematological Malignancies Occur Mainly in Mantle Cell Lymphomas," <i>Cancer Res.</i> - 61(6):2409-12 (2001) Abstract.						
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## OTHER DOCUMENTS

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